



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
WASHINGTON, DC 20350

IN REPLY REFER TO
OPNAVINST 4920.12
Op-631D1
'26 APR 1982

OPNAV INSTRUCTION 4920.12

Subj: Uniform Case Files for Foreign Military Sales (FMS)

Ref: (a) DOD 7290.3-M of 29 June 1981 "FMS Financial Management Manual"

Encl: (1) Uniform case file assignments for FMS material/ services cases
(2) Uniform case file assignments for FMS training cases

1. Purpose. To implement the uniform case file system for Foreign Military Sales (FMS) in accordance with Chapter 6 of reference (a).

2. Scope. This instruction applies to FMS case record keeping at all levels of the Department of the Navy. Where commands outside the purview of the Chief of Naval Operations are listed in enclosures (1) and (2), designations are made as information for the purpose of completeness.

3. Background. The Chief of Naval Operations has stated that a security assistance program goal is the establishment of the uniform case file system within the Department of the Navy. This system provides a structure for maintaining necessary documentation and insuring ready retrievability of information relevant to each FMS case. This can effectively be accomplished by assigning accountability for sections for the "total case file" to the various activities. These sections are delineated in chapter 6 of reference (a).

4. Discussion. Enclosures (1) and (2) list assignment of responsibilities for FMS material/services and training cases respectively. As such, they designate the command responsible for maintaining the "master" document in the Navy organization for each case section listed. It should be emphasized that this is intended to provide a minimum requirement for case maintenance at each level. Files in addition to these minimum requirements may be maintained by the various commands at their discretion. For example, the accountability for the master Letter of Offer and Acceptance (DD Form 1513) has been assigned to the Office of the Chief of Naval Operations (Op-63) but many activities such as NAVSUP, NAVILCO, SAAC, etc., may also maintain a copy as they deem necessary. The purpose here is to establish the Op-63 copy as the authoritative copy for case record and audit functions.

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This method of designation, as outlined in the enclosures, applies throughout the listing of case file sections. Implementation of the uniform case file system is not intended to significantly alter the current practice of administering FMS cases; rather, it is meant to provide an orderly and comprehensive method for accountability and organization in the case management effort. The uniform system of labeling each section (i.e.: the tabs and line items listed in chapter 6 of reference (a)) provides the key tool in accomplishing the orderly transition to this system. As a general rule, the DON organization responsible for the preparation of documentation, vice the recipient, is indicated as the assigned organization. The rationale for this is that the preparing organization is the one best able to discuss the data contents and preparation procedures. Issuance of this directive has been coordinated with the Office of the Comptroller of the Navy.

5. Action. In accordance with the assignments outlined in enclosures (1) and (2), and within the scope of this instruction, the following actions are directed relative to security assistance FMS case file management:

a. Effective upon receipt, all new FMS cases implemented shall be maintained and labeled in accordance with the provisions of this instruction and reference (a).

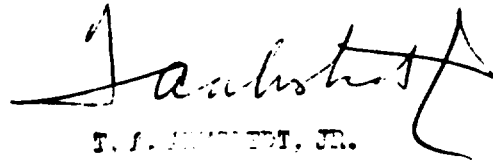
b. Each command shall retrofit their case files to this system for all cases implemented after 1 October 1981. It is intended that this should be accomplished by the end of FY 82 (30 September 1982). By taking these actions, the goal of uniformly maintaining all FY 82 FMS cases will thereby be achieved.

c. Each activity holding documentation relevant to a particular item listed in section 601 of reference (a) shall transfer that document to the command tasked with maintaining the "master" file for that item. An accurate and current case file can then be maintained. In this regard, particular attention should be directed to the contents of the checklists included in tabs A and Q. Enclosures (1) and (2) designate the offices charged with keeping these checklists current but in neither case do these designees have all the information readily available. When milestones are programmed or accomplished, the office concerned should provide documentation to the cognizant office charged with recording that information.

d. All case records will be maintained and disposed of in accordance with Section 601, paragraph 60002 of reference a.

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6. Manual availability. Copies of reference (a) are available from the Naval Publication and Forms Center, 5801 Tabor Avenue, Philadelphia, Pa. 19120. Stock number is 0516-LP-603-3000.



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UNIFORM CASE FILE ASSIGNMENTS FOR FMS MATERIAL/SERVICES CASES

Items are listed in accordance with Chapter 6 of reference (a).

<u>TAB</u>	<u>LINE ITEM</u>	<u>ACTIVITY</u>	<u>REMARKS</u>
A	1 through 3	CNO (Op-63)	
B	1 through 3	CNO (Op-63)	
C	1 and 2	CAO (Case Administering Office)	
	3	CNO (Op-63)	
D	1 and 2	CNO (Op-63)	Op-63 is tasked only to maintain a cross-reference to the location of survey reports. The report originator is accountable for actually maintaining a "master" document.
E	1 through 7	CNO (Op-63)	
F		DSAA	
G	1 and 2	CAO	
	3	SAAC	
	4	CAO	Expenditure authorization documentation not required.
	5	NAVILCO	Case trial balance will be generated by SAAC.
H	1 and 2	CAO	
I		CNO (Op-631K)	
J	1 through 5	CAO	
	6	NAVILCO	
	7	CAO	

Enclosure (1)

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K	1	NAVSUP	
	2	NAVSUP	Appropriate Inventory Control Point
	3	NAVILCO	
L		NAVILCO	Estimates are included in the P&A data enclosed in Tab C and, therefore, should be found by referring to that document. Actual charges billed are included on the delivery listings maintained by SAAC in Tab N.
M	1	CAO	
N	1	SAAC	
	2	NAVSUP	
	3	SAAC	
	4	NAVILCO	
	5	SAAC	
O		NAVILCO/SAAC/ CAO	NAVILCO will hold ROD's for cases implemented in MISIL. CAO will hold ROD's for cases implemented in STARS. SAAC should maintain all financial ROD's.
P		CNO/NAVSUP/ CAO	Each management level shall maintain reviews originated in their officer.
Q	1 and 2	CAO	
	3	SAAC	
	4	CAO	CAO is tasked only to maintain a cross-reference to the location of survey reports. The report originator is accountable for actually maintaining a "master" document.
R	1	CNO (Op-63)	
	2 and 3	CAO	
	4	SAAC	

UNIFORM CASE FILE ASSIGNMENTS FOR FMS/TRAINING CASES

Items are listed in accordance with Chapter 6 of reference (a).

<u>ITEM</u>	<u>ASSIGNMENT</u>	<u>REMARKS</u>
Tab A	CNO (Op-631E)	
Tab B	CNO (Op-631E)	
Tab C	Item 1 CNO (Op-631E) Item 2 CNET Item 3 CNO (Op-631E)	
Tab D	N/A	
Tab E	CNO (Op-631E)	
Tab F	N/A	
Tab G	Item 1 CNET Item 2 CNO (Op-631E) Item 3 N/A Item 4 CNET Item 5 CNET	Expenditure authorization documentation not required. Case trial balance will be generated by SAAC.
Tab H	CNO (Op-631E)	
Tab I	CNO (Op-631K)	
Tab J	CNET	
Tab K	N/A	
Tab L	N/A	
Tab M	N/A	
Tab N	SAAC	
Tab O	CNET	
Tab P	CNO (Op-631E)	
Tab Q	CNET	
Tab R	Item 1 CNO (Op-631E) Item 2 CNET Item 3 CNO (Op-631E) Item 4 SAAC	